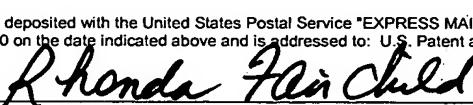


| | | |
|---|---|--|
| FORM PTO-1390 DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV 1-98) | | ATTORNEY'S DOCKET NO. 4003.002300 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | |
| INTERNATIONAL APPLICATION NO. PCT/US00/15243 | INTERNATIONAL FILING DATE June 2, 2000 | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) UNKNOWN 107009420 |
| PRIORITY DATE CLAIMED June 4, 1999 | | |
| TITLE OF INVENTION Estrogen Receptor Site-Specific Ribozymes and Uses Thereof for Estrogen Dependent Tumors | | |
| APPLICANT(S) FOR DO/EO/US Arun K. Roy, Yan Lavrovsky, Rakesh K. Tyagi, Chung S. Song, Bandana Chatterjee and Shuo Chen | | |
| Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <ol style="list-style-type: none"> <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)). <ol style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 16 below concern document(s) or information included: | | |
| <ol style="list-style-type: none"> <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included and the fee is incorporated within the attached check. <input checked="" type="checkbox"/> A FIRST preliminary amendment (with Exhibits A and B); please calculate the filing fee based upon the claims in this amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. <input type="checkbox"/> A substitute specification. <input type="checkbox"/> Power of attorney and/or address letter. <input checked="" type="checkbox"/> Other items or information: 1. International Search Report; 2. Courtesy copy of Specification including original and substitute pages; 3. International Preliminary Examination Report; and 4. Postcard | | |

| | | |
|--|---|---|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5) UNKNOWN | INTERNATIONAL APPLICATION NO. PCT/US00/15243 | ATTORNEY'S DOCKET NUMBER 4003.002300 |
| CERTIFICATE OF EXPRESS MAILING | | |
| NUMBER EL 504 118 445 US | | |
| DATE OF DEPOSIT: December 4, 2001 | | |
| I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202. | | |
|  Rhonda Fairchild | | |

17. The following fees are submitted:

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1,040.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... \$890.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... \$740.00

international preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$100.00

**CALCULATIONS
PTO USE ONLY**

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

| Claims | Number Filed | Number Extra | Rate | |
|--|--------------|--------------|------------|------------------------|
| Total Claims | 28 - 20 = | 8 | x \$ 18.00 | \$ 144.00 |
| Independent Claims | 5 - 3 = | 2 | x \$ 84.00 | \$ 168.00 |
| Multiple dependent claim(s) (if applicable) | | | + \$260.00 | \$ -0- |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 542.00 |
| Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement is no longer required, but was anyway submitted in PCT Stage. | | | | \$ 271.00 |
| SUBTOTAL = | | | | \$ 271.00 |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ -0- |
| TOTAL NATIONAL FEE = | | | | \$ 271.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ -0- |
| TOTAL FEES ENCLOSED = | | | | \$ 271.00 |
| | | | | Amount to be refunded: |
| | | | | Charged \$.00 |

- a. A check in the amount of \$271.00 cover the above fees is enclosed.
- b. Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0786/4003.002300. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Shelley P.M. Fussey
Williams, Morgan & Amerson
7676 Hillmont, Suite 250
Houston, TX 77040
(713) 934-7000

Date: December 4, 2001


SIGNATURE

Shelley P.M. Fussey
Patent Agent
Reg. No. 39,458